

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Martin, et al.

Group Art Unit: 3742

Serial No.: 09/855,972

Examiner: To be assigned

Filed: 05/15/2001

Docket No.: 062002-1751

For: METHOD AND APPARATUS FOR LOW ENERGY ELECTRON ENHANCED ETCHING OF SUBSTRATES IN AN AC OR DC PLASMA ENVIRONMENT

INFORMATION DISCLOSURE STATEMENTAssistant Commissioner for Patents
Washington, D.C. 20231

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or
(within Three months of filing national application; or date of entry of international application; or before
mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement Under 37 C.F.R. 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever
occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).
(Filed after final office action or notice of allowance, whichever occurs first, but before payment of the
issue fee)

Enclosed is a check in the amount of \$ 0. Please charge \$0 to deposit account 20-0778. At any time during the
pendency of this application, please charge any fees required to Deposit Account 20-0778 pursuant to 37 CFR 1.25. The
Commissioner is hereby requested to credit any overpayment to Deposit Account No. 20-0778.

- ☒ Applicant(s) submit herewith *Form PTO 1449 - Information Disclosure Citation* together with copies of
patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not
be material to the examination of this application and for which there may be a duty to disclose in accordance with 37
CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.

- ☐ A concise explanation of the relevance of foreign language patents, foreign language publications and
other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in
37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent
is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English
language version of the search report or action which indicates the degree of relevance found by the foreign office is listed
on the form PTO 1449 and is enclosed herewith.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention
over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents
may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport
to offer.

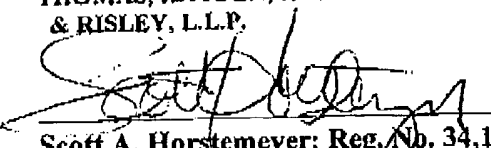
This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO-1449 to indicate the documents have been considered.

Respectfully Submitted,

THOMAS, KAYDEN, HORSTEMEYER
& RISLEY, L.L.P.

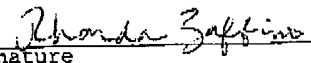
By:


Scott A. Horstemeyer; Reg. No. 34,183

100 Galleria Parkway, Suite 1750
Atlanta, Georgia 30339-5948
770-933-9500

CERTIFIED MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as "First Class Mail," in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C.
20231 on October 25, 2001


Signature

TKHR

THOMAS, KAYDEN, HORSTEMEYER & RISLEY, L.L.P.

ATTORNEYS AT LAW

100 Galleria Pkwy, NW
Suite 1750
Atlanta, GA 30339-5948
www.tkhr.com

Pub

Eric Ringer

eric.ringer@tkhr.com

FACSIMILE TRANSMISSION

August 13, 2004

[062002-1751]

TO

Parvis Hassanzadeh

FAX: 571 273 1435

FROM

Eric Ringer

FAX: 770-951-0933

TEL: 571 272 1435

TEL: 770 933 9500

RE: 09/855,972

(Message) Examiner Hassanzadeh, the transmission yesterday was incomplete. Therefore, we are re-sending everything in five (5) separate transmissions. The total transmissions will include 16 references and proof that we had previously filed the IDS. This is transmission 1 of 5.

Number of Pages (Including This Cover Sheet): - 27 - Page(s)
PLEASE ACKNOWLEDGE SAFE AND CLEAR RECEIPT OF ALL PAGES.

CONFIDENTIAL

The information in this facsimile message is legally privileged and confidential information intended only for the use of the individual or entity named above. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or reproduction of this communication is strictly prohibited. If you have received this facsimile in error, please notify us by telephone and return the original message to us at the address above via the United States Postal Service. Thank you.

INTERNATIONAL PATENT, TRADEMARK AND COPYRIGHT LAW AND RELATED LITIGATION

Huntsville, Alabama


Atlanta, Georgia

CERTIFICATE OF FACSIMILE

I hereby certify that this correspondence is being transmitted by facsimile to:

ATTN: Parvis Hassanzadeh
Facsimile number: 571 273 1435
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

on August 13, 2004.


Eric Ringer

In re application of:	Kevin P. Martin et al.	Confirmation No.: 1603
U.S. Serial Number:	09/855,972	Art Unit: 1763
Filing Date:	May 15, 2001	Examiner: Hassanzadeh, Parvis
Our Reference Number:	62002-1751	

Title: Method and Apparatus for Low Energy Electron Enhanced Etching or Substrates in an AC or DC Plasma Environment

Copy of Previously Filed Certificate of Mailing
Copy of Previously Filed Information Disclosure Statement
Copy of Previously Filed PTO Form 1449
Copy of PTO-Stamped Return Postcard
4 Cited References (Articles Only)

CERTIFICATE OF MAILING

I hereby certify that the below listed items are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents
Box: INFORMATION DISCLOSURE STATEMENT - NO FEE
Washington, D.C. 20231

on October 25, 2001

Rhonda Zaffino
Rhonda Zaffino

In re application of: **Martin, et al.**

Art Unit: 3742

U.S. Serial Number: 09/855,972

Examiner: To be assigned

Filing Date: 05/15/2001

Our Reference Number: 062002-1751

Title: **METHOD AND APPARATUS FOR LOW ENERGY ELECTRON ENHANCED
ETCHING OF SUBSTRATES IN AN AC OR DC PLASMA ENVIRONMENT**

The following is a list of documents enclosed:

Return Postcard
Information Disclosure Statement
Information Disclosure Citation (Form PTO-1449, 4 pages)
Copies of Cited Prior Art

Further, the Commissioner is authorized to charge Deposit Account No. 20-0778 for any additional fees required. The Commissioner is requested to credit any excess fee paid to Deposit Account No. 20-0778.

Cert-Mailing-Reg.doc

Serial No.: 09/855,972 Filed: 05/15/2001
 Patent No.: _____ Issued: _____
 Applicant: Martin et al.
 Title: METHOD AND APPARATUS FOR LOW ENERGY ELECTRON ENHANCED ETCHING OF SUBSTRATES IN AN AC OR DC
 Docket No.: 062002-1751 C/M Date: 10/25/2001
 EM No.: _____ Due Due: _____

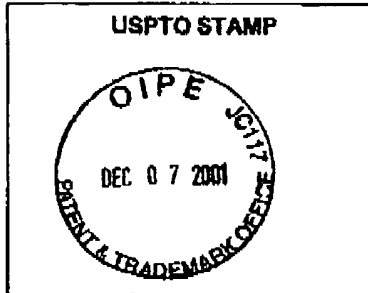
**PATENT AND TRADEMARK OFFICE
 STAMP HEREON ACKNOWLEDGES
 RECEIPT OF THE BELOW
 IDENTIFIED PAPERS:**

Cert. of Mailing: ☒ Regular US Mail
☐ Express Mail

Fees ☐ \$ _____
 Pymt ☐ Check
 Form ☐ Dep. Acct.
☐ Credit Card Paym't Form

☐ Fee Transmittal Page

- ☐ Missing Parts Response
☐ Verified Small Entity Statement(s)
☐ Declaration & Power of Attorney
☒ Preliminary Amendment
☒ Information Disclosure Statement
☒ Form 1449
☒ Cited Prior Art References 1-15
☐ Assignment/Assign't Cover Sheet
☐ Status Inquiry (in duplicate)
☐ Amendment Transmittal Page
☐ Amendment:
☐ Non-Final ☐ Final
☐ After Notice of Allowance
☐ Petition for Extension of Time
 to: _____
☐ Petition to Make Special
☐ Other: _____



- ☐ Issue Fee Trx. ☐ In Duplicate
☐ Sheets of Drawings
☐ Formal ☐ Informal
☐ Letter/Trx. To Draftsman
☐ Prior to NOA ☐ W/ NOA
☐ After NOA
☐ Maintenance Fee Transmittal
☐ 3.5 ☐ 7.5 ☐ 11.5
☐ in duplicate
☐ Terminal Disclaimer
☐ Notice of Appeal
☐ Appeal Brief
☐ Request for Refund
☐ Request for Correction F/R
☐ Notice of Continuation Applic.
☐ Request for Cert. Of Correct
☐ Certificate of Correction x 2

Person Mailing: RP2

Responsible Atty: SAH/JUL G

THOMAS KAYDEN
 HORSTEMEYER & RISLEY, L.L.P.

DEC 14 2001